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IAP12 Rec'd PCT/PTO 04 MAY 2006

Attorney Docket No. 320058-00005

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Michael T. Dorsey; et al.)
Serial No.: Herewith)
Filed: Herewith)
Title: Automated Execution and Risk Management)
of Transactions in Securities)
Group Art Unit: Herewith)
Examiner: Unknown)
Customer No.: 27160)
Confirmation No.: Unknown)

PRELIMINARY AMENDMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

Before Examining the above identified case on the merits, please enter the following
amendment

Amendment to the Specification is reflected on page 2

Amendments to the Claims are reflected in the listing of claims which begins on page 3
of this paper.

Remarks/Arguments begin on page 5 of this paper.